

**aThis Page Is Inserted by IFW Operations  
and is not a part of the Official Record**

## **BEST AVAILABLE IMAGES**

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images may include (but are not limited to):

- BLACK BORDERS
- TEXT CUT OFF AT TOP, BOTTOM OR SIDES
- FADED TEXT
- ILLEGIBLE TEXT
- SKEWED/SLANTED IMAGES
- COLORED PHOTOS
- BLACK OR VERY BLACK AND WHITE DARK PHOTOS
- GRAY SCALE DOCUMENTS

**IMAGES ARE BEST AVAILABLE COPY.**

**As rescanning documents *will not* correct images,  
please do not report the images to the  
Image Problem Mailbox.**



AJ

## INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(51) International Patent Classification <sup>6</sup> : G06F 17/30	A1	(11) International Publication Number: <b>WO 00/19337</b>
		(43) International Publication Date: 6 April 2000 (06.04.00)

(21) International Application Number: PCT/US98/20355

(22) International Filing Date: 30 September 1998 (30.09.98)

(71) Applicant: HARRIS CORPORATION [US/US]; 1025 West NASA Boulevard, Melbourne, FL 32919 (US).

(72) Inventor: OTT, Michael; 1312 Gillpepper Lane, Rohnert Park, CA 94928 (US).

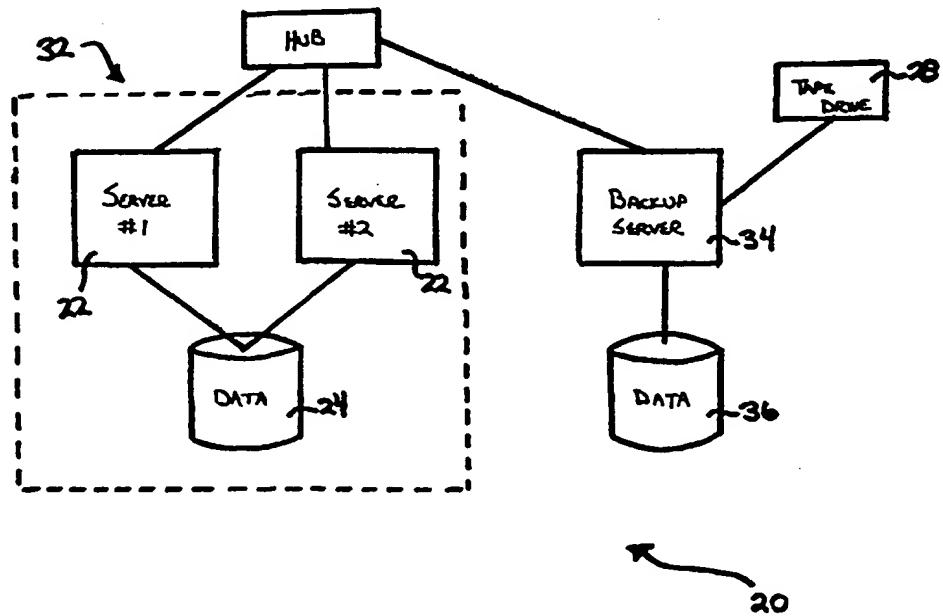
(74) Agents: ROGERS, L., Lawton, III et al.; Rogers &amp; Killeen, Suite 400, 510 King Street, Alexandria, VA 22314 (US).

(81) Designated States: AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CU, CZ, DE, DK, EE, ES, FI, GB, GE, GH, GM, HR, HU, ID, IL, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, UA, UG, UZ, VN, YU, ZW, ARIPO patent (GH, GM, KE, LS, MW, SD, SZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).

## Published

With international search report.

(54) Title: BACKING UP MICROSOFT CLUSTERED DATABASE



## (57) Abstract

Backup of the virtual SQL server (32) in a cluster configuration is performed using Microsoft SQL Server 6.5 Enterprise Edition's backup utility and is targeted to another server (34) through the network (20). Once the backup is completed to the network shared disk (36) on the non-clustered server (34) it is then backed up to tape (28) from the non-clustered server (34) using NT Backup that comes with Microsoft NT Server 4.0.

***FOR THE PURPOSES OF INFORMATION ONLY***

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

AL	Albania	ES	Spain	LS	Lesotho	SI	Slovenia
AM	Armenia	FI	Finland	LT	Lithuania	SK	Slovakia
AT	Austria	FR	France	LU	Luxembourg	SN	Senegal
AU	Australia	GA	Gabon	LV	Latvia	SZ	Swaziland
AZ	Azerbaijan	GB	United Kingdom	MC	Monaco	TD	Chad
BA	Bosnia and Herzegovina	GB	Georgia	MD	Republic of Moldova	TG	Togo
BB	Barbados	GH	Ghana	MG	Madagascar	TJ	Tajikistan
BE	Belgium	GN	Guinea	MK	The former Yugoslav Republic of Macedonia	TM	Turkmenistan
BF	Burkina Faso	GR	Greece	ML	Mali	TR	Turkey
BG	Bulgaria	HU	Hungary	MN	Mongolia	TT	Trinidad and Tobago
BJ	Benin	IE	Ireland	MR	Mauritania	UA	Ukraine
BR	Brazil	IL	Israel	MW	Malawi	UG	Uganda
BY	Belarus	IS	Iceland	MX	Mexico	US	United States of America
CA	Canada	IT	Italy	NE	Niger	UZ	Uzbekistan
CF	Central African Republic	JP	Japan	NL	Netherlands	VN	Viet Nam
CG	Congo	KE	Kenya	NO	Norway	YU	Yugoslavia
CH	Switzerland	KC	Kyrgyzstan	NZ	New Zealand	ZW	Zimbabwe
CI	Côte d'Ivoire	KP	Democratic People's Republic of Korea	PL	Poland		
CM	Cameroon	KR	Republic of Korea	PT	Portugal		
CN	China	KZ	Kazakhstan	RO	Romania		
CU	Cuba	LC	Saint Lucia	RU	Russian Federation		
CZ	Czech Republic	LJ	Liechtenstein	SD	Sudan		
DE	Germany	LK	Sri Lanka	SE	Sweden		
DK	Denmark	LR	Liberia	SG	Singapore		
EE	Estonia						

BACKING UP MICROSOFT CLUSTERED DATABASEBACKGROUND OF THE INVENTION

A cluster group is a set of services, disks, IP addresses, network names, and files shares that depend on each other for proper operation. Figure 1 shows a prior art database cluster 32 in which two servers 10 are connected to a shared database 24 (e.g., RAID array external disk drive assembly) through SCSI connections 26. A special cluster server disk driver allows only one server to be in control of the shared database 24 at a time. The two servers 22 form a virtual server with each server monitoring the activity of the other server. If any failures are detected within one of the servers, the other server will take control of the database as well as any services or file shares assigned to the cluster group.

Backing up the shared databases in such a cluster system is difficult to accomplish due to restore and backup synchronization problems. To back up a database to a tape drive requires associating the tape drive with a particular server. In the cluster configuration of Figure 1, however, it is difficult to determine which server is in control of the shared database 24 at any particular point in time. Setting a tape device up on one or both cluster nodes makes managing the database tape backup like trying to hit a moving target. The disadvantage with this scheme is that the backup images exist on two different tapes.

For example, Figure 2 illustrates a prior art cluster system in which both servers have tape backups. If server #1

is "down"/inactive between times T1 and T2, server #2 will continue to back up data during this time period. Then should server #2 go "down"/become inactive between times T2 and T3, server #1 will continue to back up the system. The disadvantage of such a system is that although all the information updates between times T1 and T4 are maintained by the system, the information is spread across the tape drives and must be reconciled for practical use.

Accordingly, it is an object of the present invention to provide a novel system and method for backing up a database cluster to tape without reconciling data spread across tape drives.

It is yet another object of the present invention to provide a novel method and system which provides multiple levels of redundancy for a database cluster.

These and many other objects and advantages of the present invention will be readily apparent to one skilled in the art to which the invention pertains from a perusal of the claims, the appended drawings, and the following detailed description of the preferred embodiments.

#### BRIEF DESCRIPTION OF THE DRAWINGS

Figure 1 is a functional block diagram illustrating a prior art database cluster system.

Figure 2 is a functional block diagram illustrating tape backup in a prior art database cluster system.

Figure 3 is a functional block diagram showing the basic organization of the enhanced services system of the present invention in the embodiment of a prepaid telephone system.

Figure 4 is a functional block diagram of an embodiment of the present invention showing the voice response unit (VRU) embedded within the switching platform.

Figure 5 is a functional block diagram showing the basic organization of the database cluster backup environment for one embodiment of the present invention.

Figure 6 is a table showing a schedule for backing up the clustered database for one embodiment of the present invention.

#### DESCRIPTION OF PREFERRED EMBODIMENTS

Figure 3, illustrating an enhanced services platform in the embodiment of a prepaid telephone system, shows a suitable conventional telephone switch 10 such as the Harris Corporation 20/20 switch in a conventional public switched telephone network (PSTN) connected to large numbers of subscriber telephones such as the caller telephones 12 and the called party telephones 14. Also connected to the switch 10 may be a bank of voice response units (VRUs) 15 on which the prepaid call processing application 18 resides.

Alternatively as shown in Figure 4, the VRUs 15 may be embedded within the architecture of an integrated network server (IN Server) 16 which is physically mounted on the back plane of the telephone switch 10. The embedding of the VRU in the switch platform effects seamless transfer of information

and may be accomplished by means of an adaptor card with the elimination of the T1 and E1 circuits.

The management of a prepaid system is generally under the control of a call processing application resident within the VRU. The call processing application, in association with peripheral equipment, determines the action to be taken (e.g., determining the correctness of a PIN entry, the prompting of users for destination numbers or desired services, outdialing to a requested telephone number, etc.) during the processing of a call request.

Information obtained and used during the call processing is maintained by the database cluster 20. Figure 5 illustrates the database cluster 20 for one embodiment of the present invention. In this embodiment, the prepaid system uses a cluster server 22 such as the MS Cluster Server or DEC Cluster Server to handle database redundancy. MS SQL Server 6.5 is used to back up the shared database 24 to a network file share location 36 on another server ("backup server") 34 having an installed tape drive 28. The network file share 36 is then backed up to tape using NT Backup or similar software.

The backing up of the shared database 24 and that of the network file share 36 may be coordinated by schedule as illustrated in Figure 6. The schedule of Figure 6 incorporates five types of backup: full database backup of the shared database to the network file share with and without initialization of the file share (i.e., FullDB With Init and FullDB No Init respectively); transaction log backup to the network file share of the incremental changes to the shared

database, with and without initialization of the file share (i.e., TransDB With Init and TransDB No Init respectively); and, the backup of the network file share to the tape drive 28 (NT Backup). Incremental changes to the shared database 24 are backed up to the network file share 36 every three hours (without initializing the network file share). On Wednesdays and Sundays the network file share is backed up to tape. Accordingly, on Thursdays and Mondays the network file share is initialized and a full backup of the shared database is performed.

The database redundancy inherent within the present system is extremely reliable due to the three levels of backup: RAID-5 technology in the main database 24, scheduled disk backup on the offline server 34, and the scheduled tape backup 28. The redundancy prevents the integrity of the data maintained from being disjointed by the cluster itself (i.e., not subject to failure or fallback conditions).

Further advantages stem from the use of MS SQL Server 6.5 Enterprise Edition which has components specifically designed to work with a cluster server, ensuring high availability for the shared database at a hardware and software level. After installing MS SQL Server 6.5 on a cluster, control of the database can be moved from one server to the other with little effort providing the capability to do maintenance on either server without down time to the users. MS SQL Server 6.5 also provides an automatic emergency fall over mechanism that is transparent to the users.

Finally, by removing the backup task to the backup server 34, the present invention does not overtax the main/booking servers 22 with backup functions.

While preferred embodiments of the present invention have been described, it is to be understood that the embodiments described are illustrative only and the scope of the invention is to be defined solely by the appended claims when accorded a full range of equivalence, many variations and modifications naturally occurring to those of skill in the art from a perusal hereof.

WHAT IS CLAIMED IS:

1. A method of backing up a database cluster comprising:
  - (a) providing backup server having database and tape drive;
  - (b) backing up cluster server to backup server; and,
  - (c) backing up backup server database to tape drive;
2. A database cluster having multiple servers operatively connected to a shared database the improvement wherein a tape drive is operatively connected to the database cluster for backing up information maintained by the shared database.
3. The database cluster of Claim 2 wherein the tape drive is connected to the shared database via a backup server.
4. The database cluster of Claim 3 wherein the shared database is backed up to a network file share on the backup server and then the network file share is backed up to the tape drive.
5. A method of providing a tape drive backup for a database cluster comprising:
  - (a) providing a backup server having a database and a tape drive;
  - (b) periodically backing up a shared database of the database cluster to the database of the backup server; and,
  - (c) periodically backing up the database of the backup server to the tape drive.
6. The method of Claim 5 wherein the backing up of the shared database and the backing up of the backup server database are coordinated to avoid overlapping time periods.

7. A method of providing redundancy in a database cluster environment comprising:
  - (a) providing a backup server having a network file share and tape drive backup;
  - (b) backing up a shared database of the database cluster to the network file share; and,
  - (d) backing up the network file share to the tape drive.

8. In a prepaid telephone system including a telephone switch and a voice response unit having a prepaid call processing application resident thereon, and a remote data base,

where the remote data base includes a database cluster having a plurality of cluster servers for managing accesses to a shared database necessitated by the prepaid application,

the method of backing up the data in the shared database comprising the steps of:

- (a) providing database management software, resident on the cluster servers, having a backup utility for facilitating the backup of the shared database;
- (b) providing a backup server, separate from and operably connected to the database cluster, having a network file share, a tape drive backup, and a software backup utility for backing up the network file share to the tape drive;
- (c) using the database management server to back up the shared database to the network file share of the backup server; and,

(d) using the software backup utility to backup the network file share to the tape drive.

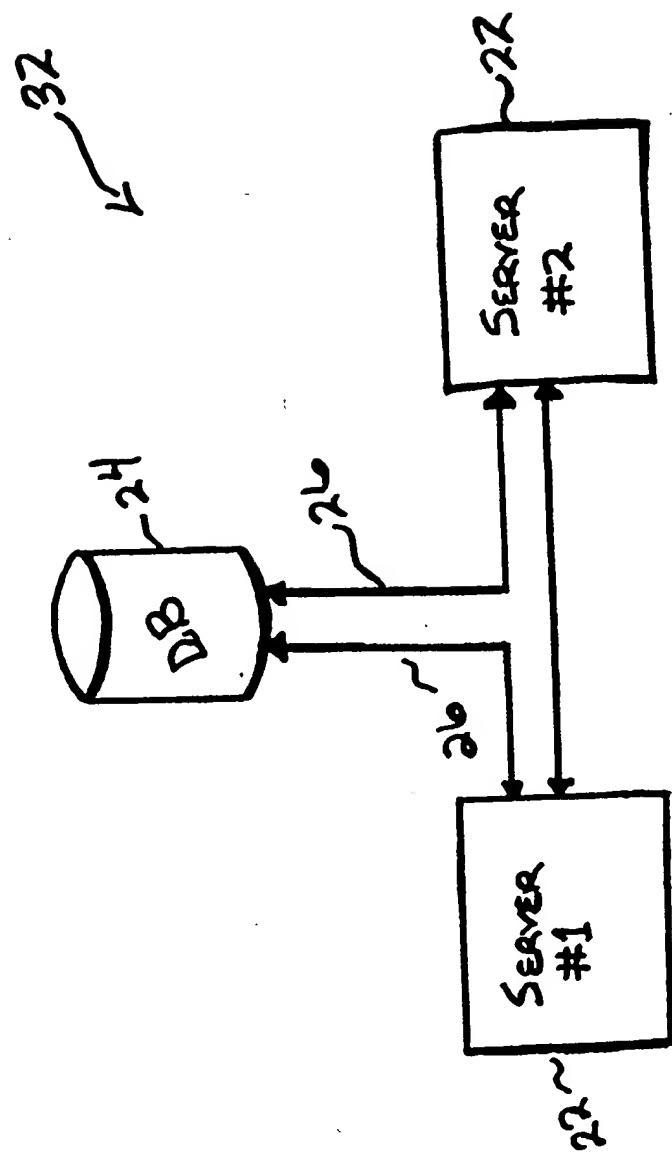


FIG. 1  
(Prior Art)

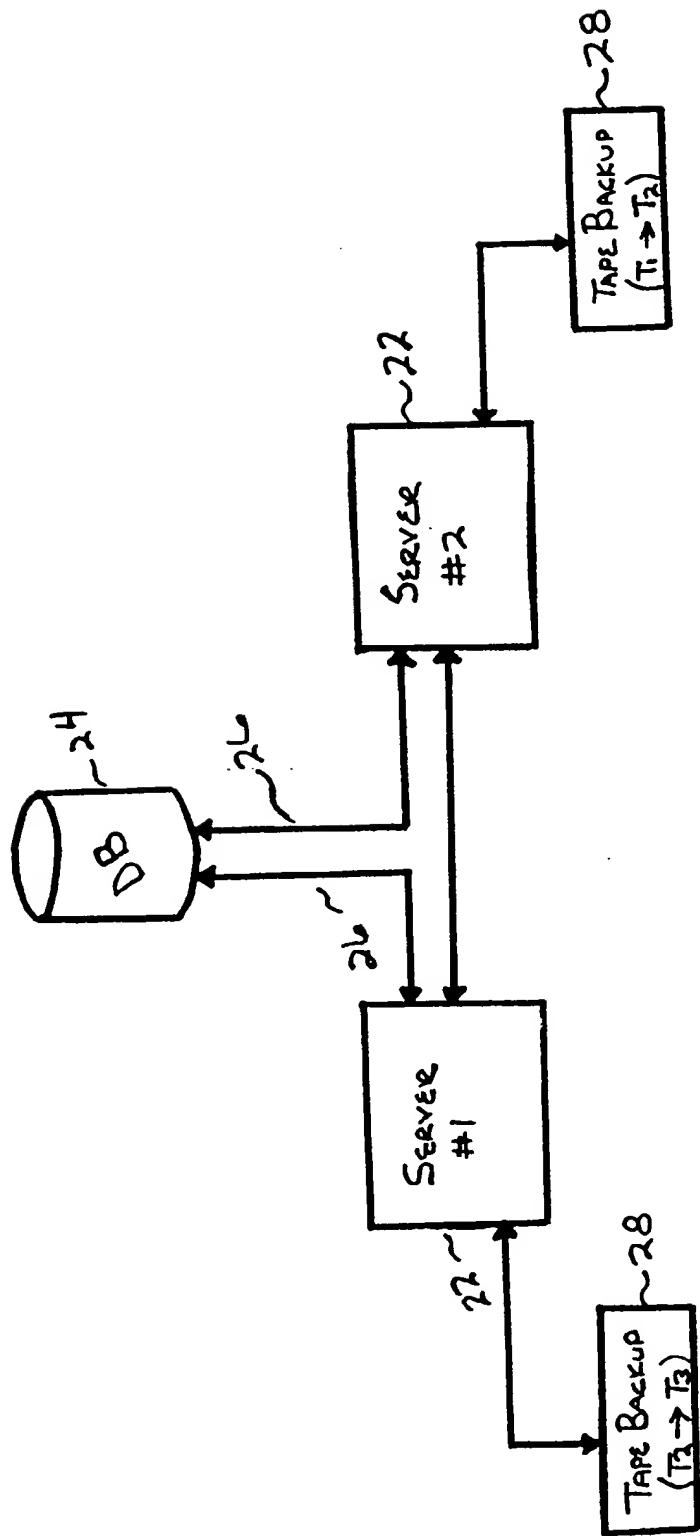
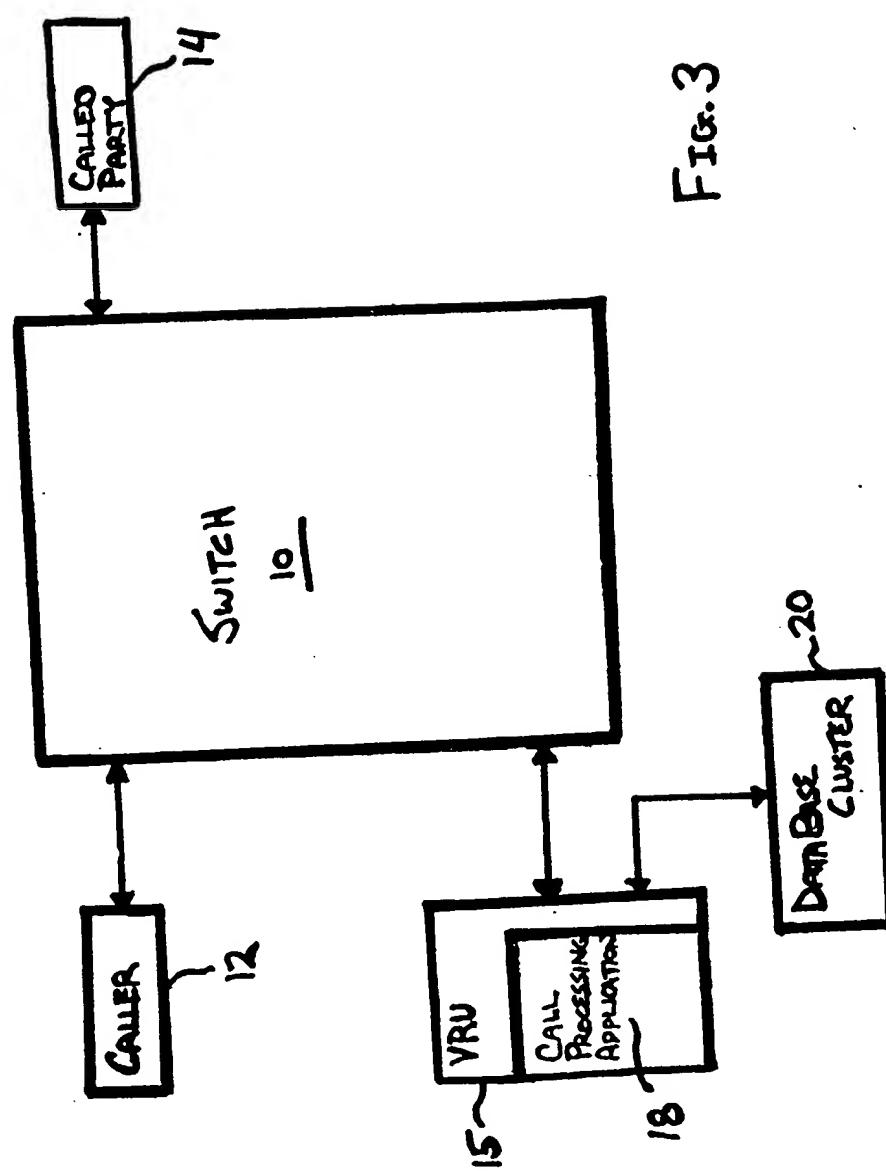


Fig. 2  
(Prior Art)



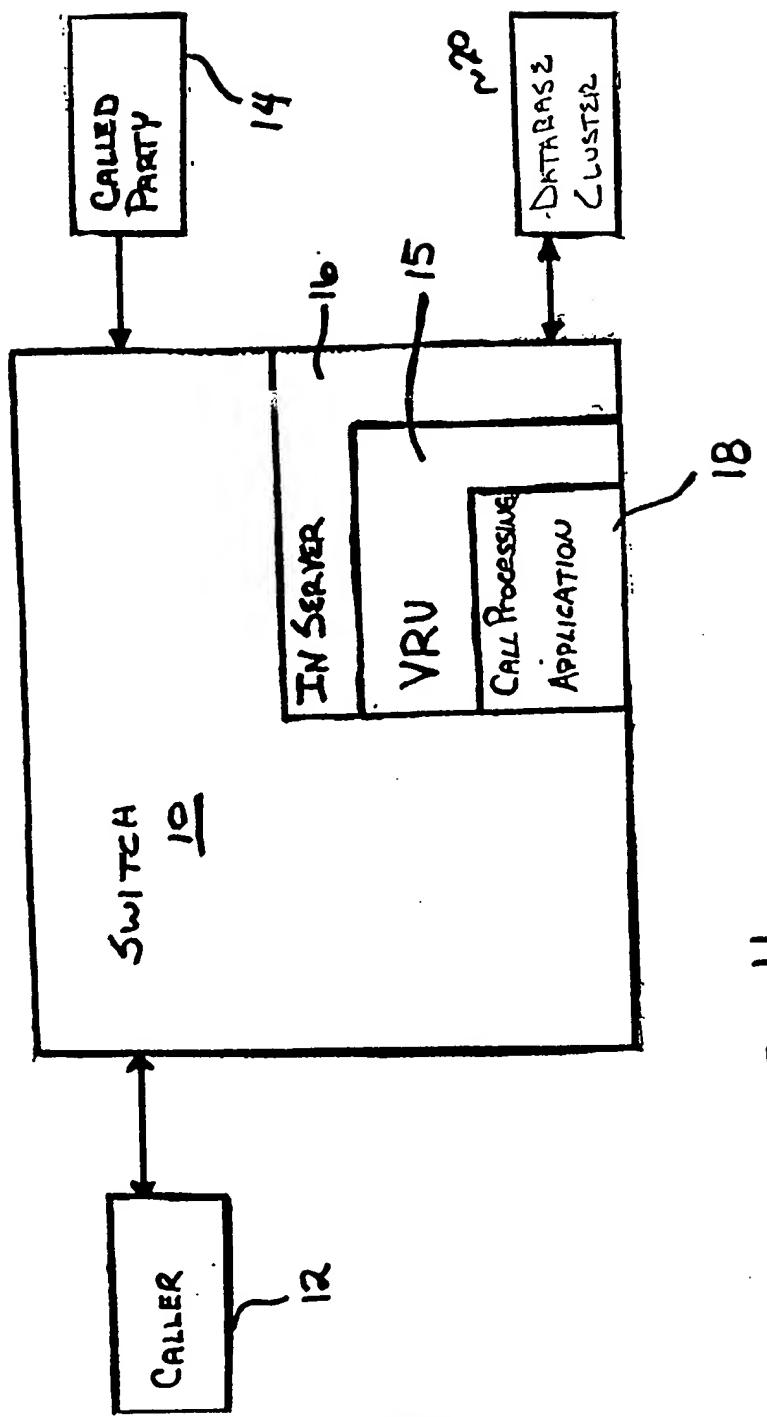


FIG. 4

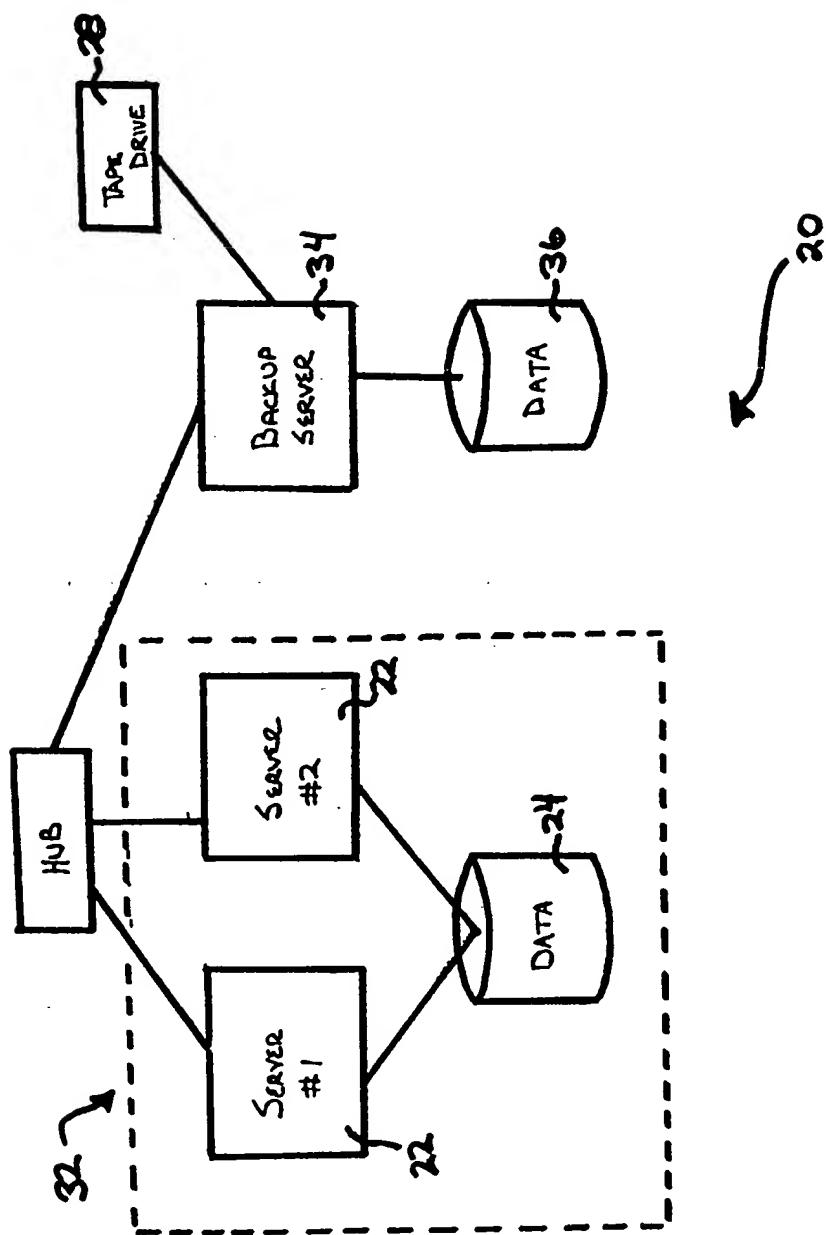


FIG. 5

TIME	TYPE	DAYS						Every 3 hrs	Every 3 hrs	Every 3 hrs
		Monday	Tuesday	Wednesday	Thursday	Friday	Saturday			
1:00 am	FullDB Weekly	X								
1:00 am	FullDB Weekly		X							
3:30 am	TransDB Weekly			X						
2:30 am	TransDB Daily				X					
4:30 am	NT Backup on HPPA APP3					X				

## INTERNATIONAL SEARCH REPORT

International application No.  
PCT/US98/20355

## A. CLASSIFICATION OF SUBJECT MATTER

IPC(6) :G06F 17/30

US CL : 707/204

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

U.S. : 707/202,204; 711/161,162

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)

APS, NPL SCIENCE SERVER, DIALOG  
search terms: backup, server, cluster, tape

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	GRUENER, J. NSI builds tape backup for Wolfpack clusters, PC Week, Vol. 14, No. 11, page 72. whole article is relevant.	1-8
Y	BRONO, C. et al. Bulletproofing NT; Network World, 22 June 1998 page 45, whole document relevant.	1-8
Y	US 5,212,772 A (MASTERS) 18 May 1993, col. 4, line 3 through col. 8 line 9.	1-8
Y	US 5,535,322 A (HECHT) 09 JULY 1996, col. 8, lines 1-11.	1-8
Y,P	US 5,778,349 A (OKONOGI) 07 July 1998, col. 2, lines 23-67.	1-8

Further documents are listed in the continuation of Box C.

See patent family annex.

Special categories of cited documents:	
*A*	document defining the general state of the art which is not considered to be of particular relevance
*B*	earlier document published on or after the international filing date
*L*	document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
*O*	document referring to an oral disclosure, use, exhibition or other means
*P*	document published prior to the international filing date but later than the priority date claimed
*T*	later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
*X*	document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
*Y*	document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art
*A*	document member of the same patent family

Date of the actual completion of the international search  
20 DECEMBER 1998

Date of mailing of the international search report

02 APR 1999

Name and mailing address of the ISA/US  
Commissioner of Patents and Trademarks  
Box PCT  
Washington, D.C. 20231  
Facsimile No. (703) 305-3230Authorized officer  
JACK M. CHOULES  
Telephone No. (703) 305-9840